

**Department of Transportation (DOT)
Office of Small and Disadvantaged Business Utilization (OSDBU)
Small Business Procurement Score Card
Fiscal Year (FY) 2009– Small Business Plan**

Introduction/Executive Summary

The U.S. Department of Transportation (DOT) has developed a successful small business program designed to increase the number of competitively awarded contracts to small businesses, maximize opportunities, minimize contract bundling and promote the use of small businesses in DOT contract and subcontracting opportunities.

The DOT small business program is implemented under the leadership of the Office of Small and Disadvantaged Business Utilization (OSDBU) and encompasses all small businesses including small and disadvantaged business (SDB), women-owned small business (WOSB), veteran owned small business (VOSB), service-disabled veteran-owned small business (SDVOSB), and HUBZone certified firms.

The program is supported at the highest level of the organization and reflected in the DOT strategic and performance plans. The Transportation Acquisition Manual (TAM) and the Transportation Acquisition Regulation (TAR) reinforce written policies and procedures for use by the DOT Operating Administration (OAs) to implement small business contracting activities. TAM 12.19 supplements the Federal Acquisition Regulation (FAR) and provides additional DOT policy and guidance on the small Business Program. Each of the 11 OAs has at least one Small Business Specialist to assist small businesses seeking contracting opportunities with DOT.

Small Business Strategy

Specifically, OSDBU's strategy focuses on actively reaching out to the small business community and providing counseling services, networking opportunities, technical and financial assistance. At the same time, OSDBU works internally with DOT program and procurement professionals by reviewing procurements, making set-aside recommendations, providing training, exchanging best practices, recognizing achievements, monitoring performance and proactively encouraging the use small businesses in DOT contracting and subcontracting opportunities.

The DOT/OSDBU strategy has shown significant success. Based on Small Business Administration (SBA) Fiscal Year (FY) 2006 final data, DOT met the scorecard criteria for achieving a GREEN on both results and progress. In fiscal year 2007, preliminary data indicate that DOT is on track to exceed all but one of the small business goals, including the WOSB goal while making significant

progress towards meeting the Service Disabled Veteran Owned Small Business (SDVOSB) goal. Similar results are anticipated for FY 2008.

The following highlights some of the actions and activities that support DOT's small business strategic plan in general, as well as the Contract Bundling mitigating strategies adopted by DOT, the Women Owned Small Business (WOSB) and the Service Disabled Veteran Owned Small Business (SDVOSB) strategies developed pursuant to statute and Executive Orders.

1. Implement strategic plan to increase the value of competitively awarded contracts to small business during the period.

In FY09 OSDBU will continue to implement and promote the DOT small business strategy with special emphasis on the SDVOSB community. This strategy includes providing access to information on planned procurements, counseling services, networking opportunities and technical assistance. OSDBU will also work internally to ensure that small businesses can successfully compete in DOT's contracts and subcontracts by working closely with program and acquisition officials to identify and remove barriers to SB competition.

In support of the DOT small business strategic plan OSDBU will:

- a) Work collaboratively with the Department's Senior Procurement Executive (SPE) and Competition Advocate to ensure that policies and procedures to increase small business participation are in place and that small business can compete in DOT procurements.
- b) Review Small Business Plan with each OA to ensure compliance with stated policy and increase the number of contracts that are competitively awarded to small businesses.
- c) Publish and maintain a small business outreach calendar on the OSDBU website to highlight events where DOT will participate to ensure that small business nationwide can benefit from DOT's outreach efforts.
- d) Review and monitor DOT procurements using the DOT 4250.1 Small Business Review Form to ensure that acquisition strategies provide maximum opportunities for small business competition, with special emphasis SDVOSB acquisition strategies.
- e) Sponsor DOT matchmaking events within and outside of the Washington DC area to ensure that small businesses are better prepared to compete for DOT contracts and subcontracts.
- f) Participate in the DOT monthly Procurement Management Council meetings with chiefs of contracting activities and competition advocates to share information on initiatives, solicit input and promote increased small business competition in DOT contracting.
- g) Encourage use of advance acquisition planning and the engagement of the small business community early in the acquisition process as a means of increasing the value of competitively awarded contracts.

2) Demonstrate top-level Agency commitment to small business contracting during the period.

- a) DOT's Strategic Plan requires that opportunities be expanded for all small business, especially for SDB and WOSB. The DOT performance plan will measure success against the strategic goals. Updates on the plan will be provided on a quarterly and annual basis.
- b) The Secretary will continue to participate and actively support OSDBU small business initiatives such as DOT's awards ceremonies and outreach events. A video presentation will be used to transmit this commitment and support in DOT sponsored events outside of the DC area.
- c) OA Administrators will continue to be responsible for small business program implementation and compliance with SB plans and strategic goals.
- d) The Secretary will continue to receive OSDBU weekly Small Business/ White House Reports– which cover current and planned small business initiatives for DOT, including service disabled veteran owned small businesses efforts.

3) Plan significant events to increase small business participation in the procurement process during the period.

In FY09 OSDBU will coordinate and implement an aggressive small business outreach program that includes nationally recognized events with special emphasis on the SDVOSB community. OSDBU outreach events are posted on the DOT website, which includes a calendar of outreach events and future matchmaking events. <http://osdbu.dot.gov/news/calendar.cfm>

- a) These events include:
 - SDVOSB National Conference,
 - The National Veterans Entrepreneurship Conference
 - Annual National Veteran Small Business Conference sponsored by the Veteran Small Business Federal Interagency Council.
 - Annual Association for Service-Disabled Veterans Conference
 - Local and regional SDVOSB conferences
 - Support National events of interest to the various small business groups including:
 - National Small Business Week
 - OSDBU Directors Annual conference,
 - MBDA's Med Week Conference
 - Airport Minority Advisory Committee Conference.
 - US Hispanic Chamber of Commerce National Conference
 - National Women-Owned Small Business Conference
 - Annual National Reservation Economic Summit and American Indian Business Trade Fair

b) OSDBU will continue to implement its Small Business Plan of Action and supplement with the following planned activities:

- Host an Information Technology (IT) Vendor Day event in coordination with the Office of Chief Information Officer (CIO) to brief private industry and the small business community on the Fiscal Year 2009 IT and related services outlook. This outreach event will provide an opportunity for participants to learn about DOT's future direction on IT policy and services.
- Offer technical assistance and support to small businesses in all 50 states, the District of Columbia, Puerto Rico and the US. Virgin Islands through nine regional Small Business Transportation Resource Centers (SBTRC)
- Revise and continue to implement a Short Term Lending Program (STLP) in the form of a line-of-credit to help SBs successfully perform on transportation-related contracts at the local, state and federal levels.
- Provide information to the small business community on marketing their goods and services to DOT and respond to inquiries by increasing the visibility and use of OSDBU's National Information Clearing House (NIC).
- Develop informative marketing materials that will assist SBs in their pursuit of contracting and subcontracting opportunities at DOT.

4) Demonstrate that small business data is accurately reported in FPDS-NG during the period.

DOT is committed to ensuring that procurement data accurately reflects SB achievements and continues to verify and validate FPDS-NG data pursuant to the Office of Federal Procurement Policy Memorandum on Federal Procurement Data Verification and Validation. In support of this initiative OSDBU will continue to:

- a) Work closely with the SPE office in developing guidance, providing training and monitoring data input to ensure small business data is accurately reported into FPDS.
- b) Work with each OA to ensure FPDS records accurately reflect size and socioeconomic business status.
- c) Inform participants at outreach events the need to update CCR profiles with current information
- d) Conduct random sampling of FPDS-NG data and validate through internal DOT scorecard
- e) Proactively promote measures in place to ensure that small business data is accurately reported in FPDS-NG

- f) Customize training to specific Operating Administration on an as needed basis and provide assistance in identification of anomalies.

5) Demonstrates that policies and procedures are in place to ensure compliance with subcontracting plans and attainment of subcontracting goals during the period

DOT follows the FAR 19.7 as supplemented by Tam 19.7 in the implementation of the government's subcontracting program. In addition to the contracting officer, Subcontracting Plans are reviewed by the SBA Procurement Center Representative (PC), OA's Small Business Specialists and OSDBU to ensure compliance with subcontracting plan and legislative goals. To support this initiative, OSDBU will:

- a) Emphasize subcontracting opportunities for small business by reviewing subcontracting plans and providing recommendation on subcontracting goals.
- b) Monitor performance by reviewing subcontracting reports through the Electronic Subcontracting Reporting System (eSRS)
- c) Serve on the ESRS change board to ensure data is accurately captured and reported
- d) Ensure DOT contracting officers have access and actively monitor ESRS reporting
- e) Provide and/or coordinate training as necessary on ESRS

6) Demonstrated no unjustified bundling has taken place during the period

DOT has been able to successfully mitigate the impact of contracting bundling DOT contracts. In fiscal Year 2007, based on preliminary data, no unjustified contract bundling took place in DOT. To ensure that no unjustified bundling takes place OSDBU will:

- a) Continue to work with contracting officers, DOT small business specialists and the SBA procurement center representative to identify proposed solicitations that involve bundling through the use of the 4250 small business review process;
- b) Facilitate small business participation as contractors including small business contract teams, where appropriate
- c) Facilitate small business participation as subcontractors and suppliers where participation by small business concerns as contractors is unlikely;
- d) Conduct an annual review to assess the extent to which small businesses are receiving a fair share of DOT procurements, adequacy

of contract bundling documentation and justifications; and actions taken to mitigate the effects of necessary and justified contract bundling on small businesses.

7) Planned training to contracting staff/managers in executing small Business/socioeconomic procurements during the period.

DOT believes that a well-trained staff is key to a well-implemented program. In FY 2009 OSDDBU will continue to provide training in the development of small business/socioeconomic procurements through monthly Small Business Specialist meetings, website training and other sources. OSDDBU will:

- a) Continue each months SBS training emphasizing:
 - The use of acquisition strategies to ensure small business participation in DOT contracting and subcontracting opportunities,
 - Exchange of best practices,
 - Proposed federal rules and regulations,
 - Outreach/Matchmaking opportunities, SDVOSB, SBA and internal scorecard achievements,
 - Procurement forecast, FPDS enhancements, and eSRS reporting
- b) In addition OSDDBU will coordinate training on as needed basis on topics such as:
 - General Services Administration's Veterans Technology Services (VETS) Government-wide Acquisition Contract (GWAC).
 - Partnership Agreement to Facilitate 8(a) Contracting –
 - SBA Program Updates
- c) OSDDBU will also ensure that the website covering kept up-to-date. Providing links to critical documents, links to laws, regulations, and external contracting tools and resources.

Comment [drl1]: There is something missing in this sentence. Covering what?

8) Plan to collaborate with SBA on formulation of small business procurement policy initiatives during the period

OSDBU will continue to collaborate with SBA on formulation of small business procurement policy initiatives by:

- a) Participating in the Small Business Procurement Advisory Council.
- b) Providing comments and recommendation formally and informally.
- c) Cooperating and submitting reports as requested by SBA.
- d) Supporting SBA in implementing outreach initiatives.
- e) Actively participating and supporting SBA's Small Business Week activities matchmaking events nationwide. (See Calendar of Events)

9) Agency submits all strategic plans and reports that became due to SBA during the reporting period

- a) FY 2009 Small Business Procurement Plan of Action – August 29, 2008

- b) FY07 Contract Bundling WOSB and SDVOSB Progress Report
- c) SBIR Annual Report – March 15
- d) Small Business Procurement Progress FY 08 – January 29, 2009
- e) Competitive Demonstration Program Report FY08 – January 31
- f) Annual Report and Fiscal Year 2009 Update for Strategic Plan to Contract with SDVOSB – January 31
- g) Annual Contract Bundling Report FY08– January 31, 2009
- h) Progress Report on Increasing Opportunities for Women-Owned Small Businesses – FY08, January 31 2009
- i) Corrective Actions to address unmet Socio-Economic Goals (FY08) – January 31, 2009